Attorney Docket No.: SUN01-15(P6910

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Serial No.: David Dice 10/039,368

METHODS AND APPARATUS FOR CONTROLLING

For:

SPECULATIVE EXECUTION OF INSTRUCTIONS BASED ON A

MULTIACCESS MEMORY CONDITON

RECEIVED

Filing Date: January 3, 2002

Examiner: Art Unit:

Unassigned

2183

MAR 0 6 2003

Technology Center 2100

### Certificate of Mailing Under 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on:

Date: February 25, 2003

Sandra L. Kopacz By:

(Typed or printed name of person mailing Document, whose signature appears

below)

Signature: <u>Vander</u> L. Kopaln

Assistant Commissioner for Patents Washington, DC 20231

## INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- under 37 CFR 1.129(a), or (If IDS filed as first/second submission after Final Rejection);
- under 37 CFR 1.97(b), or (If IDS Filed within three months of filing national [X] application; or date of entry of the national stage in international application; or before mailing date of first office action on the merits; whichever occurs last);
- [] under 37 CFR 1.97(c) together with either:

U.S. Application No.: 10/039,368 Attorney Docket No.: SUN01-15(P6910)

- 2 -

[ ]	a Statement under 37 CFR 1.97(e), as checked below, or
[]	a \$180.00 fee under 37 CFR 1.17(p), or (If filed after the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
[]	under 37 CFR 1.97(d) together with:
[]	a Statement under 37 CFR 1.97(e), as checked below, and
[]	a Petition under 37 CFR 1.97(d)(2), and
[]	a \$130.00 petition fee set forth in 37 CFR 1.17(i). (If IDS filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)
[]	Applicant requests that the attached IDS and cited reference(s) be placed in the application filewrapper. (If IDS filed after payment of issue fee)
<u>State</u>	ment Under 37 CFR 1.97(e)
[]	Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
[]	No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
Enclo	osed herewith is form PTO-SB-08A:
[X]	Copies of the cited references are enclosed.
[]	Copies of cited references are enclosed except those entered in a prior application, having U.S. Serial No, and references that are not required to be submitted under 37 CFR 1.98.
[]	The listed references were cited in the enclosed International Search Report in a counterpart foreign application.

U.S. Application No.: 10/039,368 Attorney Docket No.: SUN01-15(P6910)

- 3 -

<u>Conci</u>	se Explanation Requirement (required for non-English references):					
[]	The "concise explanation" requirement for reference(s) under 37 CFR 1.98(a)(3) is satisfied by:					
[ ] [ ] [ ]	the explanation provided on the attached sheet. the explanation provided in the Specification. submission of the enclosed International Search Report. the enclosed English language abstract.					
	equested that the information disclosed herein be made of record in this eation.					
Metho	od of payment:					
[X]	No fee is required for this Information Disclosure Statement.					
[]	Enclosed is a check in the amount of \$					
[]	A copy of this Statement is enclosed.					
Pater 0901	If a fee is required for this IDS, or if the enclosed fee is not sufficient, the office is hereby granted permission to charge Deposit Account No. 50-(Chapin & Huang, L.L.C.) for any additional fees required for this IDS.					
	Respectfully submitted,					
	CHAPIN & HUANG, L.L.C.					
	By: Day W. Chapin, Esq. U.S.P.T.O. Registration No.: 39,934 Attorney for Applicant CHAPIN & HUANG, L.L.C. Westborough Office Park 1700 West Park Drive Westborough, Massachusetts 01581 Telephone: (508) 366-9600 Facsimile: (508) 616-9805					

Attorney Docket No.: SUN01-15(P6910)

Dated: February 25, 2003

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOS

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

C mplete if Known

Application Number 10/039,368

Filing Date January 3, 2002

First Named Inventor David Dice

Group Art Unit 2183

Examiner Name Unknown

Attorney Docket Number SUN01-15(P6910)

(use as many sheets as necessary)

Sheet 1 of 2

**U.S. PATENT DOCUMENTS** Name of Patentee or Applicant of Cited Document Document Number Pages, Columns, Lines, Where Relevant Passages or Relevant Issue Date Examiner MM-DD-YYYY Initials Number - Kind Code<sup>2</sup> (if known) Figures Appear Jablow US-4,908,750 03/13/1990 US-RE36,462 12/21/1999 Chang et al. US-US-US-US-US-US-US-US-US-US-US-US-US-US-US-US-US-US-

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. 1  Country Code3 - Number4 - Kind Code5 (if.	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or	Pages, Columns, Lines, Where Relevant	
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> ( <i>if known</i> )		Applicant of Cited Document	Passages or Relevant Figures Appear	T <sup>6</sup>
						<b> </b>
						<del></del>
		<del> </del>				
						ļ
				· · · · · · · · · · · · · · · · · · ·	1	ļ
						<b>-</b>

_		<del></del>	
Examiner Signature	Date Considered		

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

PTO/SB/08B(10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

ostitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet of 2

Complete if Known				
Application Number	10/039,368			
Filing Date	January 3, 2002			
First Named Inventor	David Dice			
Group Art Unit	2183			
Examiner Name	Unknown			
Attorney Docket Number	SUN01-15(P6910)			

OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS					
Examiner Initials *	Cite No. Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				
		Bershad, Brian et al. "Fast Mutual Exclusion for Uniprocessors", ACM SIGPLAN Notices: Volume 27, Issue 9 (September 1992).			

$\overline{}$		· · · · · · · · · · · · · · · · · · ·	
Examiner	Date		Ì
Signature	Considered		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.